

**DECLARATION (37 CFR 1.63) FOR UTILITY OR DESIGN APPLICATION
USING AN APPLICATION DATA SHEET (37 CFR 1.76)**

As the below named inventor(s), I/we declare that:

This declaration is directed to:

- ☐ The attached application, or
- ☒ Application No. 09/827,013, filed on 05 April 2001,
- ☐ as amended on _____ (if applicable);

I/we believe that I/we am/are the original and first inventor(s) of the subject matter which is claimed and for which a patent is sought;

I/ we have reviewed and understand the contents of the above-identified application, including the claims, as amended by any amendment specifically referred to above;

I/we acknowledge the duty to disclose to the United States Patent and Trademark Office all information known to me/us to be material to patentability as defined in 37 CFR 1.56, including material information which became available between the filing date of the prior application and the National or PCT International filing date of the continuation-in-part application, if applicable; and

All statements made herein of my/own knowledge are true, all statements made herein on information and belief are believed to be true, and further that these statements were made with the knowledge that willful false statements and the like are punishable by fine or imprisonment, or both, under 18 U.S.C. 1001, and may jeopardize the validity of the application or any patent issuing thereon.

FULL NAME OF INVENTOR(S)

Inventor one EMPEDOCLES, Stephen A.

Date: 6/17/01

Signature: [Signature]

Citizen of: US

Inventor two TREADWAY, Joseph A.

Date: _____

Signature: _____

Citizen of: US

Inventor three WATSON, Andrew R.

Date: _____

Signature: _____

Citizen of: UK

Inventor four _____

Date: _____

Signature: _____

Citizen of: _____

☐ Additional inventors are being named on _____ additional form(s) attached hereto.

Burden Hour Statement: This collection of information is required by 35 U.S.C. 115 and 37 CFR 1.63. The information is used by the public to file (and the PTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This form is estimated to take 1 minute to complete. This time will vary depending upon the needs of the individual case. Any comments on the amount of time you are required to complete this form should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, Washington, DC 20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Assistant Commissioner for Patents, Washington, DC 20231.

PA 3137108 v2

**DECLARATION (37 CFR 1.63) FOR UTILITY OR DESIGN APPLICATION
USING AN APPLICATION DATA SHEET (37 CFR 1.76)**

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All statements made herein of my/own knowledge are true, all statements made herein on information and belief are believed to be true, and further that these statements were made with the knowledge that willful false statements and the like are punishable by fine or imprisonment, or both, under 18 U.S.C. 1001, and may jeopardize the validity of the application or any patent issuing thereon.

FULL NAME OF INVENTOR(S)Inventor one EMPEDOCLES, Stephen A. Date: _____Signature: _____ Citizen of: USInventor two TREADWAY, Joseph A. Date: 6/5/2001Signature: Joseph A. Treadway Citizen of: USInventor three WATSON, Andrew R. Date: 6/4/2001Signature: A.R. Watson Citizen of: UK

Inventor four _____ Date: _____

Signature: _____ Citizen of: _____

☐ Additional inventors are being named on _____ additional form(s) attached hereto.

Burden Hour Statement: This collection of information is required by 35 U.S.C. 115 and 37 CFR 1.63. The information is used by the public to file (and the PTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This form is estimated to take 1 minute to complete. This time will vary depending upon the needs of the individual case. Any comments on the amount of time you are required to complete this form should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, Washington, DC 20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Assistant Commissioner for Patents, Washington, DC 20231.

PA 3137108 v2

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PTO/SB/81 (02-01)

Approved for use through 10/31/2002. OMB 0651-0035

U.S. Patent and Trademark Office; U.S. DEPARTMENT OF COMMERCE

Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it displays a valid OMB control number.

POWER OF ATTORNEY OR AUTHORIZATION OF AGENT	Application Number	09/827,013
	Filing Date	04/05/2001
	First Named Inventor	EMPEDOCLES et al.
	Title	DIFFERENTIABLE SPECTRAL BAR CODE METHODS AND SYSTEMS
	Group Art Unit	
	Examiner Name	
	Attorney Docket Number	19916003700

I hereby appoint:

☒ Practitioners at Customer Number 20350 → Place Customer
Number Bar Code
Label here
AND

☒ Practitioner(s) named below:

Name	Registration Number
KENNETH BAROVSKY, ESQ.	36,442

as my/our attorney(s) or agent(s) to prosecute the application identified above, and to transact all business in the United States Patent and Trademark Office connected therewith.

Please change the correspondence address for the above-identified application to:

☒ The above-mentioned Customer Number.
OR

☒ Firm or Individual Name MARK D. BARRISH

Address

Address

City State ZIP

Country

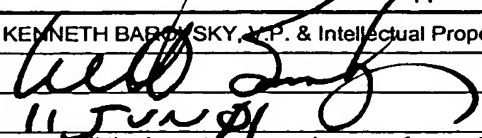
Telephone Fax

I am the:

☐ Applicant/Inventor.

☒ Assignee of record of the entire interest. See 37 CFR 3.71.
Statement under 37 CFR 3.73(b) is enclosed. (Form PTO/SB/96).

SIGNATURE of Applicant or Assignee of Record

Name	KENNETH BAROVSKY, V.P. & Intellectual Property Counsel
Signature	
Date	11/20/01

NOTE: Signatures of all the inventors or assignees of record of the entire interest or their representative(s) are required. Submit multiple forms if more than one signature is required, see below*.

☒ *Total of 1 form(s) is submitted.

Burden Hour Statement: This form is estimated to take 3 minutes to complete. Time will vary depending upon the needs of the individual case. Any Comments on the amount of time you are required to complete this form should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, Washington, DC 20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Assistant Commissioner for Patents, Washington, DC 20231.
PA 3148198 v3

STATEMENT UNDER 37 CFR 3.73(b)

Applicant/Patent Owner: EMPEDOCLES, et al.

Application No./Patent No.: 09/827,013 Filed/Issue Date: 04/05/2001

Entitled: DIFFERENTIABLE SPECTRAL BAR CODE METHODS AND SYSTEMS

QUANTUM DOT CORPORATION

a California Corporation

(Name of Assignee)

(Type of Assignee, e.g., corporation, partnership, university, government agency, etc.)

states that it is:

1. ☒ the assignee of the entire right, title, and interest; or
2. ☐ an assignee of an undivided part interest

in the patent application/patent identified above by virtue of either:

- A. ☒ An assignment from the inventor(s) of the patent application/patent identified above. The assignment was recorded in the Patent and Trademark Office at Reel _____, Frame _____, or for which a copy thereof is attached.

OR

- B. ☐ A chain of title from the inventor(s), of the patent application/patent identified above, to the current assignee as shown below:

1. From: _____ To: _____

The document was recorded in the United States Patent and Trademark Office at Reel _____, Frame _____, or for which a copy thereof is attached.

2. From: _____ To: _____

The document was recorded in the United States Patent and Trademark Office at Reel _____, Frame _____, or for which a copy thereof is attached.

3. From: _____ To: _____

The document was recorded in the United States Patent and Trademark Office at Reel _____, Frame _____, or for which a copy thereof is attached.

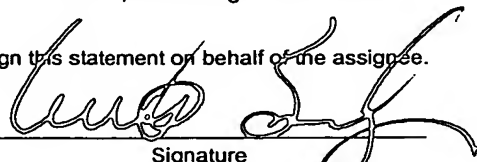
☐ Additional documents in the chain of title are listed on a supplemental sheet.

☐ Copies of assignments or other documents in the chain of title are attached.

[NOTE: A separate copy (i.e., the original assignment document or a true copy of the original document) must be submitted to Assignment Division in accordance with 37 CFR Part 3, if the assignment is to be recorded in the records of the USPTO. See MPEP 302.8]

The undersigned (whose title is supplied below) is empowered to sign this statement on behalf of the assignee.

11 Jan 01
Date


Signature

KENNETH BAROVSKY

Typed or printed name

VICE PRESIDENT & INTELLECTUAL
PROPERTY COUNSEL

Title

Burden Hour Statement: This form is estimated to take 0.2 hours to complete. Time will vary depending upon the needs of the individual case. Any comments on the amount of time you are required to complete this form should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, Washington, DC 20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Assistant Commissioner for Patents, Washington, DC 20231.

PA 3148202 v3



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Washington, D.C. 20231

OCTOBER 22, 2001

PTAS
TOWNSEND AND TOWNSEND AND CREW LLP
MARK D. BARRISH
TWO EMBARCADERO CENTER
8TH FLOOR
SAN FRANCISCO, CALIFORNIA 94111-3834



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UNITED STATES PATENT AND TRADEMARK OFFICE
NOTICE OF RECORDATION OF ASSIGNMENT DOCUMENT

THE ENCLOSED DOCUMENT HAS BEEN RECORDED BY THE ASSIGNMENT DIVISION OF THE U.S. PATENT AND TRADEMARK OFFICE. A COMPLETE MICROFILM COPY IS AVAILABLE AT THE ASSIGNMENT SEARCH ROOM ON THE REEL AND FRAME NUMBER REFERENCED BELOW.

PLEASE REVIEW ALL INFORMATION CONTAINED ON THIS NOTICE. THE INFORMATION CONTAINED ON THIS RECORDATION NOTICE REFLECTS THE DATA PRESENT IN THE PATENT AND TRADEMARK ASSIGNMENT SYSTEM. IF YOU SHOULD FIND ANY ERRORS OR HAVE QUESTIONS CONCERNING THIS NOTICE, YOU MAY CONTACT THE EMPLOYEE WHOSE NAME APPEARS ON THIS NOTICE AT 703-308-9723. PLEASE SEND REQUEST FOR CORRECTION TO: U.S. PATENT AND TRADEMARK OFFICE, ASSIGNMENT DIVISION, BOX ASSIGNMENTS, CG-4, 1213 JEFFERSON DAVIS HWY, SUITE 320, WASHINGTON, D.C. 20231.

RECORDATION DATE: 08/06/2001

REEL/FRAME: 012082/0506
NUMBER OF PAGES: 3

BRIEF: ASSIGNMENT OF ASSIGNOR'S INTEREST (SEE DOCUMENT FOR DETAILS).

ASSIGNOR:
EMPEDOCLES, STEPHEN A.

DOC DATE: 06/07/2001

ASSIGNOR:
TREADWAY, JOSEPH A.

DOC DATE: 06/05/2001

ASSIGNOR:
WATSON, ANDREW R.

DOC DATE: 06/04/2001

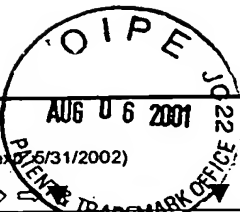
ASSIGNEE:
QUANTUM DOT CORPORATION
26118 RESEARCH ROAD
HAYWARD, CALIFORNIA 94545

SERIAL NUMBER: 09827013
PATENT NUMBER:

FILING DATE: 04/05/2001
ISSUE DATE:

012082/0506 PAGE 2

SEDLEY PYNE, EXAMINER
ASSIGNMENT DIVISION
OFFICE OF PUBLIC RECORDS



08-22-2001

Attorney Docket No. 019916-003700US

Form PTO-1595
Rev. 03-01)
OMB No. 0651-0027 (exp. 6/31/2002)

U.S. Department of Commerce
U.S. Patent and Trademark Office



101819523

Tab settings

To the Honorable Commissioner of Patents and Trademarks. Please record the attached original documents or copy thereof

1. Name of conveying party(ies):

EMPEDOCLES, STEPHEN A.
TREADWAY, JOSEPH A.
WATSON, ANDREW R.

08/06/01

2. Name and address of receiving party(ies)

Name: QUANTUM DOT CORPORATION

Internal Address: 26118 Research Road

Street Address: _____

City: Hayward State: CA ZIP: 94545

Additional name(s) of conveying parties attached? ☒ Yes ☐ No.

3. Nature of conveyance:

- ☒ Assignment ☐ Merger
☐ Security Agreement ☐ Change of Name
☐ Other: _____

Additional names and addresses attached? ☐ Yes ☒ No

Execution Date: 06/04/01; 06/05/01; AND 06/07/01

4. Application number(s) or patent number(s).

If this document is being filed together with a new application, the execution date of the application is: _____

A. Patent Application No(s): 09/827,013

B. Patent No(s): _____

Additional numbers attached? ☐ Yes ☒ No

5. Name and address of party to whom correspondence concerning document should be mailed:

Name: Mark D. Barrish
TOWNSEND AND TOWNSEND AND CREW LLP
Two Embarcadero Center, 8th Floor
San Francisco, California 94111-3834
(415) 576-0200

6. Total number of applications and patents involved 1

7. Total fee (37 CFR 3.41): \$40.00 /

- ☐ Enclosed
☒ Authorized to be charged to deposit account

8. Deposit account number: 20-1430

(Attach duplicate copy of this page if paying by deposit account)

DO NOT USE THIS SPACE

9. Statement and signature.

To the best of my knowledge and belief, the foregoing is true and correct and any attached copy is a true of copy of the original document.

Mark D. Barrish
Name of Person Signing
Atty. Reg. No. 36,443

[Signature]
Signature

3 AUGUST 2001
Date

Total number of pages including cover sheet, attachments and document 3

Mail documents to be recorded with required cover to:
Commissioner of Patents and Trademarks, Box Assignments
Washington, D.C. 20231

PA 3161562 v1

21/2001 GTON11 00000200 201430 09827013

FC:581 40.00 CH

ASSIGNMENT OF PATENT APPLICATION

JOINT

WHEREAS, STEPHEN A. EMPEDOCLES, of 2507 Mardell Way, Mountain View, CA 94043; JOSEPH A. TREADWAY, of 34736 Bowie Common, Fremont, CA 94555; and ANDREW R. WATSON, of 1 Spring Lane, Belmont, CA 94002; hereinafter referred to as "Assignors," are the inventors of the invention described and set forth in the below-identified application for United States Letters Patent:

Title of Invention: DIFFERENTIABLE SPECTRAL BAR CODE
METHODS AND SYSTEMS

Filing Date: April 5, 2001

Application No.: 09/827,013; and

WHEREAS, QUANTUM DOT CORPORATION, located at 26136 Research Road, Hayward, CA, 94545, hereinafter referred to as "ASSIGNEE," is desirous of acquiring an interest in the invention and application and in any U.S. Letters Patent and Registrations which may be granted on the same;

For good and valuable consideration, receipt of which is hereby acknowledged by Assignors, Assignors have assigned, and by these presents do assign to Assignee all right, title and interest in and to the invention and application and to all foreign counterparts (including patent, utility model and industrial designs), and in and to any Letters Patent and Registrations which may hereafter be granted on the same in the United States and all countries throughout the world, and to claim the priority from the application as provided by the Paris Convention. The right, title and interest is to be held and enjoyed by Assignee and Assignee's successors and assigns as fully and exclusively as it would have been held and enjoyed by Assignors had this Assignment not been made, for the full term of any Letters Patent and Registrations which may be granted thereon, or of any division, renewal, continuation in whole or in part, substitution, conversion, reissue, prolongation or extension thereof.

Assignors further agree that they will, without charge to Assignee, but at Assignee's expense, (a) cooperate with Assignee in the prosecution of U.S. Patent applications and foreign counterparts on the invention and any improvements, (b) execute, verify, acknowledge and deliver all such further papers, including patent applications and instruments of transfer, and (c) perform such other acts as Assignee lawfully may request to obtain or maintain Letters Patent and Registrations for the invention and improvements in any and all countries, and to vest title thereto in Assignee, or Assignee's successors and assigns.

IN TESTIMONY WHEREOF, Assignors have signed their names on the dates indicated.

Dated: 6/17/01


STEPHEN A. EMPEDOCLES

Dated: _____

JOSEPH A. TREADWAY

Dated: _____

ANDREW R. WATSON

ASSIGNMENT OF PATENT APPLICATION

JOINT

WHEREAS, STEPHEN A. EMPEDOCLES, of 2507 Mardell Way, Mountain View, CA 94043; JOSEPH A. TREADWAY, of 34736 Bowie Common, Fremont, CA 94555; and ANDREW R. WATSON, of 1 Spring Lane, Belmont, CA 94002; hereinafter referred to as "Assignors," are the inventors of the invention described and set forth in the below-identified application for United States Letters Patent:

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METHODS AND SYSTEMS

Filing Date: April 5, 2001

Application No.: 09/827,013; and

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Dated: _____

STEPHEN A. EMPEDOCLES

Dated: 6/5/2001

JOSEPH A. TREADWAY

Dated: 6/4/2001

ANDREW R. WATSON